National Aeronautics and
Space Administration
Washington, DC 20024

NATIONAL AERONAUTICS AND SPACE ADMINISTRATION

ETHICS PROGRAM TRACKING SYSTEM
(EPTS)

USER AND OPERATIONS GUIDE (DS-05)

Version 1.6
Revision Number 0

April 2006

INFORMATION TECHNOLOGY SYSTEMS, ENGINEERING AND
MANAGEMENT (ISEM) SUPPORT SERVICES TASK ORDER
Contract Number DTSS59-99-D-00444/W-19800

SAIC Systems Integration Services Group
Vienna, Virginia 22182

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1.0 INTRODUCTION

1.1 Identification

This user and operations guide (UOG) provides end user and operator guidance for the Ethics Program Tracking System (EPTS).

The UOG is an instruction and reference manual, which provides operating instruction for the end user and operations personnel on the use of the computer software system. It provides the specific steps to be followed, the expected results, and the corrective measures required when such results are not obtained. The UOG is the primary means of determining how to operate the system.

1.2 Background

The Ethics Program Tracking System track is design to implement the Financial Disclosure Reporting, Confidential Financial Disclosure Report and Ethics Training for the Ethics Program Office. The following offices will share EPTS: General Counsel, Human Resources, External Relations, and Human Capital. The Office of Government Ethics requires an annual report to be filed by February 1, of every year, and this system automates portions of that report.

2.0   MAIN MENU

The main menu provides access to the following sections in the EPTS application:

- **SF-278** – NASA Employees and SGES who are required to file an SF-278
- **OGE-450**- NASA Employees and SGES who are required to file an OGE-450 or OGE450a
- **Training**- NASA Employees who took training and are not required to file an SF-278 or OGE-450
- **Search**- To search for filers within the EPTS database
- **Reports**- To access the following reports:
  - *Checklist*- To Verify data within EPTS and WIMS
  - *Quantify Report*- To identify the number of required filers that have and have not filed
  - *Attorney's Report* – Allows Attorneys to view their assigned filers
  - *Filers/Non-Filers Report*- A list of required filers names who have and have not filed their forms
  - *Ethics Training Report-* A list of people who have and have not taken the Ethics Training
  - *OGE Questionnaire-* Generates the following sections in the Annual Report:
    - o *Education and Training*
    - o *Public Financial Disclosure*
    - o *Confidential Financial Disclosure*
    - o *Advisory Committees/SGEs*
  - New Employee List within the last 30 Days- A list of New Entrants within the past 30 Days
  - Termination List within the last 30 Days- A list of Terminations in the last 30 days
  - Committees Report – Provides a list of SGEs and Committees
  - Committees Detail Report- Provides the number of Committees and the number of Members

Depending on the user role, some links may not be viewable; please refer to Appendix

3.0   SF-278 MAIN MENU

The SF-278 menu provides access to the following sections in the EPTS application:
- Search for SF-278 Filers – Allows the user to find a filer with any status
- SF-278 New Entrant Screen – Enter and Update New Entrants Profiles
- SF-278 Advisory Committee/SGE Screen- A link to the SGE section
  - Search for SGE SF-278 Filers Screen- Allows the user to find a filer with any status
  - Add an SGE SF-278 Filer - Enter a New Entrant for an SGE
  - SGE SF-278 List - Provides a "quick overview" of all SGE SF-278 filers
- SF-278 List- Provides a "quick overview" of all SF-278 filers

Depending on the user role, some links may not be viewable; please refer to Appendix A.

3.1   SF-287 New Entrants

To enter a New Entrant, select the NASA Center, type in their "Last Name"," First Name" and their "Middle Initial". (For Example: Doe, John)
Once the list is displayed, click on their name to create a profile for that person.

If the person cannot be found, you can manually enter their information by selecting the "Add a new Filer Manually" link.

The reasons a person may not be found:
- Their information may not be entered in the WIMS database yet
- Their Office Id does not match in the X500 with WIMS
- They are not an NASA employee

3.2   SF-278 Annuals

To search for an Annual Filer, type in their First Name, and/or Last Name, and select a NASA Center on the SF- 278 Option Screen. You may enter the first three letters of their first or last name to receive a result list. If the first and last name is blank all filers according to the EPTS database will be displayed. Once the list is displayed click on the person name to view or update their profile.

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3.3   SF-278 Terminations

To terminate an employee, you must first select termination in the status drop down box in their profile.

To search for a Termination Filer, type in their First Name, and/or Last Name, and select a NASA Center on the SF- 278 Option Screen. You may enter the first three letters of their first or last name to receive a result list. If the first and last name is blank all filers according to the EPTS database will be displayed. Once the list is displayed click on the person name to view or update their profile.

3.4   SF-278 Advisory Committee/SGE Annuals

To search for a SGE Annual Filer, Select SF-278 Committee/SGE Screen from the SF-278 Option Screen, type in their First Name, and/or Last Name. You may enter the first three letters of their first or last name to receive a result list. If the first and last name is blank all the SGE Filers according to the EPTS database will be displayed. Once the list is displayed click on the person name to view or update their profile.

3.5   SF-27 Advisory Committee/SGE New Entrants

To enter a new entrant, click on the "Add a SGE SF-278 New Entrant" link to create a profile.

To update or view an existing SGE enter their full name or the first three letters of their first or last name on the SGE SF-278 Screen. If the first and last name is blank all SGE 278 Filers according to the EPTS database will be displayed. Once the list is displayed click on the person name to update or view their profile.

3.6   SF-278 List

The SF-278 List link will display all SF-278 filers in the EPTS database showing the following status fields:
- Full Name of the required filer
- Filing Year
- Office Id of the required filer
- Status of the required filer (i.e. an Annual Filer, New Entrant, or Termination)
- The date when the General Counsel Office (OGC) received the SF-278
- If the required filer has been trained

4.0   OGE-450 MENU

The OGE-450 menu provides access to the following sections in the EPTS application:
- Search for OGE-450 Filers- Locate all Filers
- OGE-450 New Entrant Screen – Enter New Entrants
- OGE-450 SGE - A link to the SGE section
  - Search for SGE OGE-450 Filers Screen- Allows the user to find a filer with any status
  - Add an SGE OGE-450 New Entrant- Enter a New Entrant for an SGE
  - SGE SF-278 List - Provides a "quick overview" of all SGE OGE-450 filers
- OGE-450 List- Provides a "quick overview" of all OGE-450 filers

Depending on the user role, some links may not be viewable; please refer to Appendix A

4.1   OGE-450 New Entrants

To enter a New Entrant, select the NASA Center, type in their "Last Name"," First Name" and their "Middle Initial". (For Example: Doe John)

Once the list is displayed, click on their name to create a profile for that person.

If the person cannot be found, you can manually enter their information by selecting the "Add a New Filer Manually" link.

The reasons a person may not be found:
- *Their information may not be entered in the WIMS database yet*
- *Their Office Id does not match in the X500 with WIMS*
- *They are not an NASA employee*

4.2   OGE-450 Annuals

To find an OGE-450 Filer, select the NASA Center, type in their "Last Name"," First Name" and their "Middle Initial". (For Example: Doe John)

You may enter the first three letters of their first or last name to receive a result list. If the first and last name is blank all the OGE-450 Filers according to the EPTS database will be displayed. Once the list is displayed click on the person name to view or update their profile.

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4.3   OGE-450 Advisory Committee/SGE Annuals

To search for a SGE Annual Filer, Select OGE-450 SGE from the OGE-450 Option Screen, type in their First Name, and/or Last Name. You may enter the first three letters of their first or last name to receive a result list. If the first and last name is blank all the SGE Filers according to the EPTS database will be displayed. Once the list is displayed click on the person name to view or update their profile.

4.4   OGE-450 Advisory Committee/SGE New Entrants

To enter a new entrant, click on the "Add a SGE 450 New Entrant" link to create a profile.

To update or view an existing SGE enter their full name or the first three letters of their first or last name on the SGE OGE 450 Screen. If the first and last name is blank all SGE 450 filers according to the EPTS database will be displayed. Once the list is displayed click on the person name to update or view their profile.

4.5 OGE-450 List

The OGE-450 List link will display all OGE-450 filers in the EPTS database showing the following status fields:

- Full Name of the required filer
- Office Id of the required filer
- Status of the required filer (i.e. an Annual Filer, New Entrant, or Termination)
- The date when the General Counsel Office (OGC) received the OGE-450
- If the required filer has been trained

5.0   TRAINING

The Training link allows you to enter NASA employees who are not require to file a SF-278 or an OGE-450.

To enter a person that has been trained, select the NASA Center, type in their "*Last Name","* *First Name"* and their *"Middle Initial". (For Example: Doe John)*

Once the list is displayed click on the person name to enter the training information.

6.0   SEARCH

The search screen allows you to search EPTS database with the following fields:
- First Name
- Last Name
- Form Type
- Office ID
- Form Status
- NASA Center
- Trained
- Attorney's Name

By leaving the fields blank all records will be displayed. By clicking on the person name you will be brought to their profile to view or update.

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7.0   REPORTS

The Reports Main Page allows access to the following reports:

- Checklist- To Verify data within EPTS and WIMS
- Quantify Report- To identify the number of required filers that have and have not filed
- Filers/Non-Filers Report- A list of required filers names who have and have not filed their forms
- Attorney's Report - Allows Attorneys to view their assigned filers
- Ethics Training Report- A list of people who have and have not taken the Ethics Training
- OGE Questionnaire- Generates the following sections in the Annual Report:
  - Education and Training
  - Public Financial Disclosure
  - Confidential Financial Disclosure
  - Advisory Committees/SGEs
- New Employee List within the last 30 Days- A list of New Entrants within the past 30 Days
- Termination List within the last 30 Days- A list of Terminations in the last 30 days
- Committees Report – Provides a list of SGEs and Committees
- Committees Detail Report- Provides the number of Committees and the number of Members

8.0   MAINTENANCE

The Maintenance Screen allows access to the following maintenance tables:
- AO List
- Attorney Names
- Committee Names
- Form Status
- Letters
- Type of Form
- Training Type
- Center List
- Change Filers Status
- Delete Profile
- Manage Role Access

8.1   AO List

The Assistant Executive Officers list displays all the AOs in EPTS. By clicking their name, their profile can be updated. By clicking on their email address Eudora/Outlook will open placing their email address in the "To:" Field.

To add a new AO:
- Click on the "Add New" button.
- Enter their full name or the first three letters of their first or last name to receive a result list. If the first and last name is blank all employees will be displayed (not recommended).
- Click on the person name
- Create their profile
- Click the "Save" button and the new AO will appear in the drop down box within EPTS

8.2   Attorneys Names

The attorney list displays all the attorneys in EPTS. By clicking their name, their profile can be updated. By clicking on their email address Eudora will open placing their email address in the "To:" Field.

To add a new attorney:
- Click on the "Add New" button.

- Enter their full name or the first three letters of their first or last name to receive a result list. If the first and last name is blank all employees in the Office of the General Counsel will be displayed.
- Once the list is displayed click on the person name
- Create their profile
- Click the "Save" button and the new attorney will appear in the drop down box within EPTS

8.3   Committee Names

The committee list displays all the committees in EPTS. By clicking on the committee, the profile can be updated.

To add a new committee:
- Click on the "Add New" button
- Type in the new committee name
- Select if this committee is a FACA committee or a n non-FACA committee,
- Click the "Save" button and the new committee will appear in the drop down box within EPTS.

8.4   Form Status

The form status list displays all form status types in EPTS.

To add a form status type:
- Click on the "Add New" button
- Type in the new form status type name
- Click the "Save" button and the new form status type will appear in the drop down box within EPTS.

Form statuses cannot be deleted from the EPTS systems.

8.5   Letters

EPTS holds letter templates that can be sent out to the AOs and required filers. To create a new letter:
- Click on the "Create New Letter" link
- Type in the information of the letter
- Click the "Save" button and the new letter will appear in the drop down box within EPTS.

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To view letters sent through email:
- Select the letter within the drop down box
- Click the "Select" button

To edit letters:
- Select the letter within the drop down box
- Click the "Edit" button
- Update the letter
- Click the "Save" button and the letter will be updated.

8.6   Type of Form

The type of form list displays all form types in EPTS.

To add a new form:
- Click on the "Add New" button
- Type in the new form status type name
- Click the "Save" button and the new form status type will appear in the drop down box within EPTS.

** If a new form type is added to the EPTS it will not be captured in the OGE Annual Report. Form
**Types cannot be deleted from the EPTS systems

8.7   Training Type

The training type list displays all training types in EPTS.

To add a form status type:
- Click on the "Add New" button
- Type in the new form status type name
- Click the "Save" button and the new form status type will appear in the drop down box within EPTS.

** Training Types cannot be deleted from the EPTS systems

8.8   Center List

The Center list displays all Centers in EPTS.

To add a new Center:
- Click on the "Add New" button
- Type in the Center Name
- Acronym
- ID
- Click the "Save" button and the new Center will appear in the drop down box within EPTS.

** *Centers cannot be deleted from the EPTS systems*

8.9   Change Filer Status

To change an Filer status, select the NASA Center, type in their "*Last Name"," First Name"* and their *"Middle Initial". (For Example: Doe John)*

You may enter the first three letters of their first or last name to receive a result list. If the first and last name is blank all the Filers according to the EPTS database will be displayed. Once the list is displayed click on the person name to update their profile.

8.10 Delete Profiles

To delete a Filer, select the NASA Center, type in their "*Last Name"," First Name"* and their *"Middle Initial".   (For Example: Doe John)*

You may enter the first three letters of their first or last name to receive a result list. If the first and last name is blank all the Filers according to the EPTS database will be displayed. Once the list is displayed click on the delete link to permanently remove them from the system.

8.11 Manage Role Access

Click on the Centers Name; Click on the Users Name; to access the Manage Role Screen.

For each section of EPTS the user have the following access rights:
- Read-Only
- Add/Edit
- No Access

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9.0   Exit

By clicking the Exit link, EPTS will end your session.

APPENDIX A — EPTS ROLES

Roles / Functions	SF-278 Add/Edit	SGE SF-278 Add/Edit	OGE-450 Add/Edit	SGE OGE-450 Add/Edit	Training Add/Edit	Search EPTS	Add / Edit dropdown values	Add / Edit User Acct	Run EPTS Check List	Run Quantify Report	Run Filed and Non File Forms	Run Ethics Training Report	Run OGE Questionnaire Report	Insert OGE-450 Annuals
Acct Admin								X						
OGC/ OCC	X	X	X	X	X	X	X		X	X	X	X	X	
OGC/ OCC Admin Staff	R	R	R	R	X	X	R		X	X	X	X	X	
OGC/ OCC Lawyers	R	R	R	R		X	R		X		X	X		
HRD	X		X			X			X		X	X		
HCD	X					X			X		X	X		
ER		X		X		X	X		X		X	X		
ER Admin Staff		X		X		X	X		X		X	X		
AO														X

R = READ ONLY RIGHTS
X = ADD, VIEW and UPDATE RIGHTS
OGC = OFFICE OF THE GENERAL COUNSEL
HRD = HUMAN RESOURCE DIVISION
ER = EXTERNAL RELATIONS
AO = ADMINISTRATIVE OFFICER

Available roles for Center users:
  Account Admin
  OCC
  OCC Admin Staff
  OCC Lawyers
  HRD
  1. AO